

**PRELIMINARY ENVIRONMENTAL STUDY (PES) FORM**

Agency (Dist-Co-Rte-Agency): \_\_\_\_\_

Project Number (Federal Prog. Prefix-Proj.No. (Agrmnt No.): \_\_\_\_\_

Project Location: \_\_\_\_\_

Project Description: \_\_\_\_\_

**EXAMINE FOR POTENTIAL EFFECTS ON THE ENVIRONMENT, DIRECT OR INDIRECT, AND  
ANSWER THE FOLLOWING QUESTIONS**

A. The Physical Environment	<u>Yes</u>	<u>To Be Determined</u>	<u>No</u>
1. Is the project a Type I project as defined in 23 CFR 772.5(h); "construction on new location or the physical alteration of an existing highway which significantly changes either the horizontal or vertical alignment or increases the number of through-traffic lanes."	_____	_____	_____
2. Are there water resources (rivers, streams, bays, inlets, lakes, drainage sloughs) within or immediately adjacent to the project area?	_____	_____	_____
3. Is project within a designated sole-source aquifer?	_____	_____	_____
4. Is project within the State Coastal Zone?	_____	_____	_____
5. Is the construction area located within a regulatory floodway or within the base floodplain (100-year) elevation of a water course or lake?	_____	_____	_____
6. Is the project within or immediately adjacent to a Wild and Scenic River System?	_____	_____	_____
7. Is there a potential for a federally-listed, threatened, or endangered species (including candidate species) or their critical or sensitive habitat within the construction area?	_____	_____	_____
8. Is there a potential for wetlands within the construction area?	_____	_____	_____
9. Is there a potential for agricultural wetlands within the construction area?	_____	_____	_____
10. Air Quality			
a. Is the project included in a currently conforming regional transportation plan (RTP) and transportation improvement program (TIP) and that there have been no substantial changes in the design concept and scope as used in the TIP?	_____	_____	_____
b. Is the project exempt from the requirement to determine conformity (40 CFR 93.126)?	_____	_____	_____
11. Is the project in a non-attainment or maintenance area? (National Ambient Air Quality Standards)	_____	_____	_____

	<u>Yes</u>	<u>To Be Determined</u>	<u>No</u>
12. Is there a potential for prime or unique farmlands within or immediately adjacent to the construction area?	_____	_____	_____
13. Is there a potential for hazardous materials (including underground tanks) or hazardous material remains within or immediately adjacent to the construction area?	_____	_____	_____
14. Are there any publicly-owned public parks, recreation areas, or wildlife or waterfowl refuges [Section 4(f)] within construction area?	_____	_____	_____
15. Are there any aesthetically visual resources within the project area?	_____	_____	_____
<b>B. The Social and Economic Environment</b>			
16. Will the project require any right of way, including partial or full takes? Consider construction easements and utility relocations.	_____	_____	_____
17. Is the project inconsistent with plans and goals adopted by the community?	_____	_____	_____
18. Will the project result in the need for public services, including utilities other than those presently available or proposed?	_____	_____	_____
19. Will the project involve changes in access control?	_____	_____	_____
20. Will project involve the use of a temporary road, detour or ramp closure?	_____	_____	_____
21. Will the project reduce available parking?	_____	_____	_____
22. Will the project require future construction to fully utilize the design capabilities included in the proposed project?	_____	_____	_____
23. Will the project generate public controversy based on potential environmental effects?	_____	_____	_____
24. Will project construction encroach on State or Federal Lands?	_____	_____	_____
25. Are there National Register listed or potentially eligible historic properties [Section 106, Section 4(f)] within the construction area?	_____	_____	_____

DATA AS REQUIRED TO SUPPORT THE CONCLUSIONS OF THIS CHECKLIST SHOULD BE ATTACHED OR AVAILABLE FROM THE LOCAL AGENCY UPON REQUEST  
(Check to Indicate Required Technical Studies, Coordination, Permits or Approvals)

C.	REQUIRED TECHNICAL STUDIES	D.	COORDINATION	E.	PERMIT/APPROVALS
<input type="checkbox"/>	<b>NOISE STUDY</b> ___ Traffic Related ___ Construction Related	___	FHWA		
<input type="checkbox"/>	<b>WATER QUALITY STUDY</b> ___ Discharge Dredged/Fill material (US waters) ___ Construction in Navigable Waters ___ Construction of Bridges/Causeways Across Navigable Waters ___ Construction of Bridge ___ Stream or Lake Alteration ___ NEPA/404 MOU	___	U.S. Army Corps of Engineers U.S. Army Corps of Engineers U.S. Coast Guard  California Regional Water Quality Control Board California Department of Fish & Game FHWA	___	Issues Section 404 Permit Section 10 Permit Approves Plans  Water Quality Certification Section 1601/03 Permit
<input type="checkbox"/>	<b>SOLE SOURCE AQUIFER</b>	___	EPA (S.F. Regional Office)	___	Contamination Threat
<input type="checkbox"/>	<b>COASTAL ZONE</b>	___	State Coastal Zone Management agency (California Coastal Commission (CCC))	___	Coastal Zone Consistency
<input type="checkbox"/>	<b>FLOODPLAIN STUDY *</b>	___	Federal Emergency Management Agency FHWA	___	Floodplain Finding
<input type="checkbox"/>	<b>WILD &amp; SCENIC RIVERS</b>	___	U.S. Department of Interior Heritage Conservation/Recreation Service		
<input type="checkbox"/>	<b>BIOLOGY STUDY *</b>	___	FHWA California Department of Fish & Game	___	Sec 7 Consultation Incidental Take Permit
<input type="checkbox"/>	<b>WETLANDS STUDY *</b>  Agricultural Wetlands	___	FHWA/EPA U.S. Fish & Wildlife U.S. Army Corps of Engineers National Marine Fisheries Service Natural Resources Conservation Service	___	Wetlands Findings Verifies juris. wetlands Verifies agri. wetlands
<input type="checkbox"/>	<b>AIR QUALITY STUDY*</b>	___	FHWA	___	Conformity Finding
<input type="checkbox"/>	<b>FARMLANDS STUDY</b>	___	Natural Resources Conservation Service U.S. Army Corps of Engineers	___	Verifies prime/unique Approves Conversions

\* FHWA has responsibility for consultation under regulation or interagency agreement or  
FHWA has responsibility for a finding or determination required by law, regulation or Executive Order.

C.	REQUIRED TECHNICAL STUDIES	D.	COORDINATION	E.	PERMIT/APPROVALS
<input type="checkbox"/>	<b>HAZARDOUS MATERIAL STUDY</b> (Cleanup of Hazardous Material Sites)	—	1. CALIF. EPA; Department of Toxic Substances Control, Biennial Reports, Lists of Active Annual Workplan Sites — 2. CALIF. OPR; Hazardous Wastes & Substances Sites List, List of Contaminated Sites — 3. LOCAL; Health & Human Services Dept., Hazardous Waste Operations Division		
<input type="checkbox"/>	<b>SECTION 4(f) EVALUATION *</b>	—	FHWA Public Official w/Jurisdictional Responsibility. SHPO/ACHP (as appropriate) DOI/DOA/HUD/USDA (as appropriate)	—	Makes Determination
<input type="checkbox"/>	<b>SECTION 6(f) EVALUATION</b>	—	Park Official DOI		
<input type="checkbox"/>	<b>VISUAL IMPACT STUDY (AESTHETICS)</b>	—	FHWA		
<input type="checkbox"/>	<b>RELOCATION IMPACTS STUDY</b>	—	State & Local Planning Departments		
<input type="checkbox"/>	<b>SOCIO-ECONOMIC STUDY</b>	—	Airports, Schools, State and Local Planning Departments		
<input type="checkbox"/>	<b>TRAFFIC</b>	—	FHWA		
<input type="checkbox"/>	<b>SECTION 106 STUDY *</b> — APE Map  — Historic Property Survey Report (HPSR)	—	Caltrans  FHWA SHPO/ACHP (as appropriate) Local Preservation groups and/or Native American Tribes — FHWA	—	Determines applicability of Minimal APE Approves APE  Concurs or Consults with SHPO/ACHP
<input type="checkbox"/>	<b>CONSTRUCTION/ENCROACH ON STATE LANDS</b> — Under State Lands Commission Jurisdiction — Under Caltrans Jurisdiction	—	State Lands Commission  Caltrans	—	General Permit/Revise General Plans Encroachment Permit
<input type="checkbox"/>	<b>CONSTRUCTION/ENCROACHMENT ON FEDERAL LANDS</b>	—	U.S. Bureau of Reclamation Private Land Owner	—	Encroachment Permit Right of Entry Permit
	Additional studies may be required for other Federal Agencies.				

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 FHWA has responsibility for a finding or determination required by law, regulation or Executive Order.

## F. Public Hearing and Public Availability

☐ Not Required ☐ Opportunity for a Public Hearing  
☐ Notices of Availability ☐ Public Hearing Required  
☐ Environmental Document ONLY

## G. Preliminary Environmental Document Classification (NEPA)

Based on the evaluation of the project, the environmental document to be developed should be:

☐ Environmental Impact Statement  
☐ Environmental Assessment  
☐ Categorical Exclusion, with required technical studies (involving Federal action)  
☐ Programmatic Categorical Exclusion, without required technical studies  
☐ Programmatic Categorical Exclusion, with required technical studies (not involving Federal action)

Prepared by: \_\_\_\_\_ Date: \_\_\_\_\_ Telephone #: \_\_\_\_\_

This document was prepared under my supervision, in accordance with the *Local Assistance Procedures Manual*, Exhibit 6-B, "Instructions for Completing the Preliminary Environmental Study Form."

Signature local agency: \_\_\_\_\_ Date: \_\_\_\_\_ Telephone #: \_\_\_\_\_

I have reviewed this Preliminary Environmental Study (PES) form and determined that the submittal is complete and sufficient. I concur with the studies to be performed and the recommended level of environmental document (if required).

Signature DLAE: \_\_\_\_\_ Date: \_\_\_\_\_ Telephone #: \_\_\_\_\_

**THE FOLLOWING SIGNATURE IS REQUIRED FOR EAs, EISs, REGULAR CEs, AND (WHEN REQUESTED) FOR PROGRAMMATIC CEs:**

I have reviewed this Preliminary Environmental Study (PES) form and determined that the submittal is complete and sufficient. I concur with the studies to be performed and the recommended level of environmental document.

Signature District Environmental: \_\_\_\_\_ Date: \_\_\_\_\_ Telephone #: \_\_\_\_\_

FHWA REVIEW of PES RECOMMENDED YES ☐ NO ☐

**THE FOLLOWING SIGNATURE IS REQUIRED FOR EAs, EISs, AND (WHEN REQUESTED) FOR REGULAR CEs:**

H. I concur with the studies to be performed and the recommended level of environmental document.

Signature FHWA: \_\_\_\_\_ Date: \_\_\_\_\_ Telephone #: \_\_\_\_\_

**Distribution:**

Original: District Local Assistance Engineer

Copy: Local Agency Project Files